



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 00-1153-A)

PATENT

#3 MP  
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In the Application of:

Brady et al.

Serial No.: 10/001,237

Filing Date: October 30, 2001

For: Network and Method for Trading Derivatives

Examiner: To be assigned

Group Art Unit: 2167

TRANSMITTAL LETTER

Commissioner for Patents and Trademarks  
Box Missing Parts  
Washington, D.C. 20231

Dear Sir:

In regard to the above identified application,

1. We are transmitting herewith the attached:

- ☒ Transmittal (in duplicate);
- ☒ Notice to File Missing Parts of Nonprovisional Application (1 sheet);
- ☒ Petition for One Month Extension of Time (1 sheet);
- ☒ Assignment Recordation Cover Sheet (1 sheets);
- ☒ Assignment (4 sheets);
- ☒ U.S. Declaration and Power of Attorney (2 sheets); and
- ☒ Itemized Postcard.

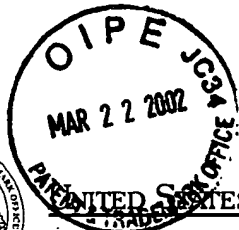
2. With respect to fees:

- a. A check in the amount of \$532.00 is enclosed.
- b. Please charge any underpayment or credit any overpayment our Deposit Account, No. 13-2490.

3. CERTIFICATE OF MAILING UNDER 37,CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents and Trademarks, Box Missing Parts, Washington, D.C. 20231 on March 8, 2002.

Respectfully submitted,

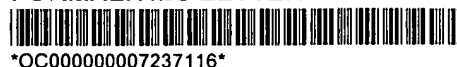
Robert J. Irvine, III  
Registration No. 41,865

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/001,237	10/30/2001	Neal Brady	00-1153-A

CONFIRMATION NO. 9272

## FORMALITIES LETTER



\*OC000000007237116\*

Robert J. Irvine  
McDonnell Boehnen Hulbert & Berghoff  
32nd Floor  
300 S. Wacker Drive  
Chicago, IL 60606

Date Mailed: 12/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$42.
  - \$42 for 1 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 477.**

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*A copy of this notice **MUST** be returned with the reply.*

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02 FC:205  
03 FC:202370.00 OP  
65.00 OP  
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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE